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Army Inspection Policy

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SUMMARY of CHANGE

AR 1-201

Army Inspection Policy

This revision updates Army inspection principles and the organizational inspection programs.

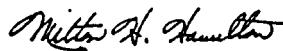
Administration

Army Inspection Policy

By Order of the Secretary of the Army:

GORDON R. SULLIVAN
General, United States Army
Chief of Staff

Official:



MILTON H. HAMILTON
Administrative Assistant to the
Secretary of the Army

History. This UPDATE printing publishes a revision of this publication. Because the publication has been extensively revised, the changed portions have not been highlighted.

Summary. This regulation prescribes the responsibilities and policies for the planning and conducting of inspections in Army Organizations. It includes policies on command, staff, and inspector general inspections, and the integration of inspections into an organizational inspection program. Additional

information on inspector general inspections appears in AR 20-1.

Applicability. This regulation applies to the Active Army, the Army National Guard and the U.S. Army Reserve. This regulation remains in effect during mobilization.

Proponent and exception authority. The proponent of this regulation is The Inspector General under the Office of the Secretary of the Army. The Inspector General has the authority to approve exceptions to this regulation that are consistent with controlling law and regulation. The Inspector General may delegate this authority, in writing, to a division chief under their supervision within the proponent agency who holds the grade of colonel or the civilian equivalent.

Army management control process. This regulation is subject to the requirements of AR 11-2. It does not contain internal control provisions.

Supplementation. Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from INSPECTIONS DIVISION, SAIG-ID, THE INSPECTOR GENERAL, 1700 ARMY PENTAGON, WASHINGTON, DC 20310-1700.

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Interim changes. Interim changes to this regulation are not official unless they are authenticated by the Administrative Assistant to the Secretary of the Army. Users will destroy interim changes on their expiration dates unless sooner superseded or rescinded.

Suggested Improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to INSPECTIONS DIVISION, SAIG-ID, THE INSPECTOR GENERAL, 1700 ARMY PENTAGON, WASHINGTON, DC 20310-1700.

Distribution. Distribution of this publication is made in accordance with the requirements of DA Form 12-09-E, block number 2007, intended for command level A for the Active Army, the Army National Guard, and the U.S. Army Reserve.

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*This publication supersedes AR 1-201, 28 June 1989.

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Chapter 1 Introduction

1–1. Purpose

This regulation outlines responsibilities and prescribes policies for planning and conducting inspections in Army organizations.

1–2. References

Required and related publications and prescribed and referenced forms are listed in appendix A.

1–3. Explanation of abbreviations and terms

Abbreviations and special terms used in this regulation are explained in the glossary.

1–4. Responsibilities

a. The Department of the Army Inspector General (DAIG) will—

(1) Be the Army proponent for inspection policy except those inspections conducted pursuant to Article 6, Uniform Code of Military Justice or inspections or searches conducted in accordance with Military Rules of Evidence 313, 314, and 315, Manual for Courts-Martial, 1984.

(2) Review and approve Department of the Army level regulatory guidance that mandates any type of inspection. This authority to review and approve does not extend to inspections conducted pursuant to Article 6, Uniform Code of Military Justice, or inspections or searches conducted according to Military Rules of Evidence 313, 314, and 315, Manual for Courts-Martial, 1984.

(3) Coordinate with Army, Department of Defense (DoD), and external inspection and audit agencies to ensure that inspections and audits complement rather than duplicate each other.

(4) Conduct inspections according to AR 20-1 and this regulation.

b. Department of the Army Secretariat and Army Staff (ARSTAF) will—

(1) Coordinate with DAIG regulatory policies that mandate the conduct of any inspection.

(2) Annually review and forward to DAIG by 30 September, a description of inspections for which they are proponent.

c. Commanders from battalion level and through MACOMs and state adjutants general will—

(1) Establish inspection policy for subordinate levels of command consistent with this regulation.

(2) Establish organizational inspection programs (OIPs) designed to ensure that inspections complement rather than duplicate each other and minimize disruption of training and maintenance activities. OIPs must also ensure that units have time for corrective actions between inspections.

(3) Review inspection policies and programs annually to ensure that the frequency, scope, and duration of inspections remain appropriate and specific inspection requirements remain valid.

d. Staff elements will—

(1) Monitor their functional areas within subordinate organizations.

(2) Conduct staff assistance visits as directed by the commander.

(3) Design assistance visits to complement other inspection programs without duplicating them.

e. Inspectors General (IG) will—

(1) Conduct IG Inspections according to AR 20-1 and this regulation.

(2) Advise commanders and staff on inspection policy.

(3) Advise the commander of the effectiveness of the OIP.

f. Individuals conducting inspections will—

(1) Be familiar with the provisions of Military Rule of Evidence 313 (Manual for Courts-Martial, United States, 1984) and AR 210-10, which contain legal guidance pertinent to the conduct of inspections.

(2) Report to commanders deficiencies involving breaches of integrity, security violations, procurement irregularities or criminality

when discovered. Consult with the servicing Staff Judge Advocate on these cases.

Chapter 2 Principles of Army Inspections

2–1. Inspection overview

The Inspector General (TIG) has identified fourteen principles that apply to all Army inspections for which TIG is the proponent. These principles guide commanders/The Adjutants General (TAGs), staff principals, and inspectors general (IGs) in the conduct of inspections.

2–2. Principles of Army inspections

a. Tailored. All inspections should be tailored to meet the commander's needs with special emphasis on being relevant and responsive. Inspections must provide practical, accurate feedback to allow the commander/TAG and his staff to make timely, informed decisions.

b. Mission oriented. Inspections, like all unit activities, should relate to mission accomplishment.

c. Purposeful. Inspections will have a specific purpose that is approved by the commander.

d. Coordinated. Inspections should avoid duplication and complement other inspection activities.

(1) To minimize unit disruption, inspections should be held to a minimum and should be brief in duration. To be effective, inspections must identify strengths as well as weaknesses. When possible, inspections will be consolidated. Inspections should be incorporated into the training planning process described in FM 25-100. Commanders will ensure the total inspection effort is integrated, each inspection and evaluation complementing others. Procedures must include a periodic review of all inspection activities to ensure that administering the OIP does not become more important than improving units.

(2) Integrating all inspection activities within a command will reduce the inspection burden on unit commanders, ensure efficient use of inspection resources, preclude inspection redundancies, and focus resources on improving readiness. As an example, to preclude unnecessary inspections apply the following:

(a) Periodically review scheduled inspections with a view toward combining or canceling inspections.

(b) Share inspection results with all agencies having a legitimate interest in the inspected function.

(3) An inspection by any headquarters more than one echelon above the inspected organization should complement rather than duplicate inspections by the organization's immediate headquarters. As an example, inspections capitalizing on expertise not available at the intermediate headquarters would be appropriately conducted by the higher headquarters.

(4) Reports from inspections by other agencies or other echelons of command will be used to the maximum extent possible to reduce the number and duration of inspections.

e. Officer in charge (OIC). Unity of effort is important, no matter the makeup of the inspection team. Therefore, if inspectors from several agencies combine their efforts into one inspection, they should ensure that one individual is charged with coordinating their activities.

f. Performance oriented. Every inspection of an organization or functional area must start with an evaluation of performance against the recognized standard to identify compliance with the standard. Deviation below the standard should result in exploration of whether the deviation is the result of training deficiencies, poor resource allocations, imperfectly understood requirements, or lack of motivation.

g. Reality check. All inspectors should determine the magnitude of problems uncovered during an inspection. To avoid wasting precious resources on inconsequential shortcomings, inspectors should assess the severity of the problem. If the deficiency significantly

affects mission accomplishment, then appropriate measures should be taken to address the problem.

h. Root causes. Inspection procedures should allow for identification of the root cause of a deviation and for determination of where in the overall functional process or organizational structure the root cause lies.

i. Teaching. Teaching is an essential element of all inspections and is the major purpose of all staff assistance visits. No inspection can be considered complete if those inspected have not been taught the goals and standards and how to achieve them.

j. Corrective action. The ultimate purpose of all inspections is to help commanders correct problems. While inspections alone do not always fix deficiencies, every inspection will bring shortcomings to the attention of those who can correct them.

k. Verbal or written report. Inspection reports (verbal or written) form a key element in a successful inspection program. Recommendations should identify the persons or staff element responsible for making corrective actions. Inspection results may be held until the end of the inspection or provided as the inspection progresses. The results may go directly to the commander or to staff and subordinate commanders, as appropriate. When inspection deficiencies indicate that violations of Federal Statute or public law have occurred, a formal written response will always be required.

l. Strengths and shortcomings. Inspections should identify strengths as well as shortcomings. Sustaining strengths is an important aspect of commanding, leading, and managing. Formally recognizing excellence helps motivate soldiers and civilians to maintain high standards of performance.

m. Lessons learned. Inspections can provide a vehicle for widespread improvement by evaluating successful techniques and providing feedback to units beyond those inspected. This spirit of cooperation and sharing strengthens the Army.

n. Follow-up procedures. Inspections expend valuable resources and are not considered complete unless a follow-up plan is developed and executed to ensure corrective action is implemented. To reduce the administrative burden on inspected units, the requirement for a formal response to inspection reports must be carefully considered. The anticipated benefits from such replies should clearly exceed the effort associated with their preparation.

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Figure 3-1. Sources of evaluation information

3-2. Organizational Inspection Program

a. Inspections are a command responsibility and the OIP is the commander's/TAG's program. The OIP encompasses all inspections conducted by the command and its subordinate elements. Inherent in this responsibility is the obligation to coordinate all inspections and audits into a single, cohesive program. The OIP must include those inspections and audits conducted by the command and those scheduled by outside agencies. Commanders should use the OIP to complement and reinforce other sources of evaluation information (for example, Army training and evaluation program (ARTEP), field training exercise (FTX), emergency deployment readiness exercise (EDRE), and mobilization readiness exercise (MODRE) reports).

b. The OIP provides the commander an organized management tool to identify, prevent or eliminate problem areas. The OIP must—

(1) Be tailored to the organization's structure and mission.

(2) Identify problems without regard to the difficulty of resolution.

(3) Contain a feedback mechanism so that identified problems can be tracked for resolution.

(4) Direct problems to the proper level for action or attention.

c. At battalion level, the OIP includes command inspections by the battalion commander and staff assistance visits by the battalion staff. The battalion commander may add visits and inspections by higher headquarters and agencies to the OIP, especially in areas where the battalion staff lacks experience or expertise. The battalion OIP forms the basic building block and the OIP of higher commands must complement it. The battalion OIP will focus on those areas which immediately impact on readiness and reinforce goals and standards. Standards are articulated and teaching occurs within the battalion. Teaching and training will be a goal of command inspections of companies.

d. The brigade OIP normally includes command inspections and staff assistance visits. It may focus on units, functional areas, or both. As a minimum, the brigade OIP will include command inspections of the brigade headquarters and headquarters company (HHC). The OIP should be flexible and may focus on one or more subordinate units, a part of those units, or a functional area over several subordinate units. The brigade OIP must complement the battalion commander's programs and not burden battalions with redundant inspections.

e. The OIP at division level and above primarily involves staff inspections and IG inspections. Command inspections at this level may be limited to command inspections of separate companies, such as the division HHC. The focus of the OIP should be on the ability to execute plans and policy. At a minimum, it should verify the effectiveness of OIP at subordinate levels, protect subordinate commanders from being over-inspected, and disseminate lessons learned throughout the command. The OIP should complement, not duplicate, battalion and brigade OIPs.

f. Reserve Component (RC) inspection programs should exist at all levels from battalions through State area command (STARCS)/Major U.S. Army Reserve Command (MUSARC). Commanders, principal staff officers, full-time staff, and IGs must pay particular attention to the time-distance factors and the compressed training time available in the RC when establishing inspection policies and procedures. Every effort must be made to reduce the number of detractors that consume valuable time that could be devoted to mission essential task list (METL) tasks.

3-3. Command inspections

a. The commander of the inspecting headquarters must participate for an inspection to be a command inspection. At a minimum, the commander must be present during a portion of the inspection as a participant and must provide the inspected commander an assessment of strengths and weaknesses upon completion.

Chapter 3 Army Inspections

3-1. Evaluation sources

The commander/TAG relies upon many sources of information to evaluate and assess the organization's state of readiness. Commanders tailor inspections to meet their needs. In doing so, they have multiple sources of information available to assess the state of readiness of their commands. Sources of types of information that can be evaluated are depicted at figure 3-1.

INTERNAL SOURCES
PERSONAL OBSERVATIONS
USR
EDRE
CPX/FTX
GUNNERY
LOGISTICS EVALUATIONS
INTERNAL REVIEW AUDITS
INTERNAL CONTROLS
COMMAND INSPECTIONS
STAFF INSPECTIONS
EXTERNAL SOURCES
DAIG INSPECTIONS
GAO AUDITS
IG, DoD INSPECTIONS

b. Initial command inspection is as follows:

(1) A new company commander will receive an initial command inspection from his or her rater. The initial command inspection will occur within 90 days of the company commander's assumption of command. In the Army National Guard and the U.S. Army Reserve, the initial command inspection will occur within 180 days of the assumption of command.

(2) The initial command inspection ensures the new company commander understands the unit's strengths and weaknesses in relation to higher headquarters' goals and standards. It will appear on the training schedule and will serve to evaluate the condition of the unit. It will not, however, evaluate the company commander's performance since assuming command.

(3) Only the inspected company commander receives the results of the initial inspection. A discussion of the results will be conducted as a goal-setting session. The company commander should receive a clear picture of the goals, standards, and priorities for the unit. Inspection results may cause refinement in the DA Form 67-8-1 (Officer Evaluation Support Form). Commanders will not use the results of initial command inspections to compare units.

c. Subsequent command inspections of companies measure progress and reinforce the goals and standards established during the initial command inspection. Commanders will determine the frequency of subsequent command inspections.

3-4. Staff inspections

a. Staff inspections are directed by the commander and will complement command and IG inspections.

b. Staff inspections are conducted at the lowest echelon technically qualified to perform staff assistance visits.

3-5. Inspector general inspections

a. AR 20-1 governs the development and conduct of IG inspections.

b. IGs tailor inspections to meet the commander's needs. IG inspections may be focused on units, functional areas, or both.

c. IGs are exposed to a wider range of units than most other inspectors and are trained to—

(1) Identify substandard performance, determine the magnitude of the deficiency, and seek the reason (root cause) for substandard performance or the deficiency.

(2) Pursue systemic issues.

(3) Teach systems, processes, and procedures.

(4) Identify responsibility for corrective action.

(5) Spread innovative ideas.

Appendix A

References

Section I

Required Publications

AR 20-1

Inspector General Activities and Procedures

Section II

Related Publications

AR 210-10

Installations—Administration

AR 623-105

Officer Evaluation Reporting System

FM 25-100

Training the Force

FM 25-101

Battle Focused Training, Battalion Level and Lower

FM 101-5

Staff Organization and Operations

Manual for Courts-Martial

United States, 1984

The Inspections Guide

US Army Inspector General Agency, Training Division

Section III

Prescribed Forms

This section contains no entries.

Section IV

Referenced Forms

DA Form 67-8-1

Officer Evaluation Support Form

Glossary

Section I Abbreviations

AR
Army Regulation

ARNG
Army National Guard

ARSTAF
Department of the Army Staff

ARTEP
Army training and evaluation program

CPX
Command post exercise

DA
Department of the Army

DAIG
Department of the Army Inspector General

DoD
Department of Defense

EDRE
Emergency deployment readiness exercise

FM
Field manual

FTX
Field training exercise

GAO
Government Accounting Office

HHC
Headquarters and headquarters company

IG
Inspector general

METL
Mission essential task list

MODRE
Mobilization deployment readiness exercise

MUSARC
Major US Army Reserve Command

OIP
Organizational inspection program

ORE
Operational readiness exercise

RC
Reserve component

STARC
State area command

TAG
The Adjutant General

TIG

The Inspector General

USAAA

US Army Audit Agency

USAIGA

US Army Inspector General Agency

USAR

US Army Reserve

USR

Unit status report

Section II Terms

Audit

The independent appraisal activity within the Army for the review of financial, accounting, and other operations, as a basis for protective and constructive service to command and management at all levels.

Command inspection

An inspection of an organization conducted by a commander in the chain of command of the inspected activity. The commander/TAG conducting the inspection determines the areas of interest and the scope of inspections, as well as the composition of any inspection team.

Compliance inspection

An inspection designed to determine the status of an organization's adherence to established law, regulations, policies, procedures, and directives.

Follow-up

Action taken to determine whether or not deficiencies found during a previous inspection, staff inspection, or audit have been corrected or corrective actions have been implemented.

Inspection

An evaluation which measures performance against a standard and which should identify the cause of any deviation. All inspections start with compliance against a standard. Commanders tailor inspections to their needs.

Organizational inspection program (OIP)

A commander's/TAG's program which integrates and coordinates all inspections, staff inspections, visits, and audits within a command or state/territory National Guard. The three major purposes of the program are to reduce disruption of training and other important activities, to reinforce established inspection standards, and to teach and train those found deficient.

Staff inspection

An inspection, other than a command or IG inspection, conducted by staff principals or members responsible for the functional area being inspected.

Systemic inspection

An inspection designed to identify problems

or issues, determine the root causes of problems, develop recommended solutions/ improvements, and fix responsibility for the solutions.

Section III

Special Abbreviations and Terms

This section contains no entries.

Index

This index contains no entries.

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